



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of: FURUHATA et al. ✓ ) Group Art Unit: 2812  
Serial No.: 09/604,702 ✓ )  
Filed: June 23, 2000 ✓ ) Examiner: Booth, R.  
For: SEMICONDUCTOR DEVICES HAVING A )  
NON-VOLATILE MEMORY TRANSISTOR )

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15.14/5048  
Bel  
6-27-02

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sirs:

In accordance with 37 CFR §§ 1.56, 1.97, and 1.98, enclosed please find Form PTO-1449 listing the attached references which might be deemed material to the examination of the above-identified application.

A. Non-English Language References

- ☐ Enclosed is a search report for a counterpart application. The search report Examiner has provided comments on the relevancy of any non-English language references cited in the search report.
- ☐ The specification incorporates comments on the relevancy of Non-English language references.
- ☐ Set forth below are comments provided by the applicant's home country counsel on the relevancy of non-English language references:
- ☒ English language abstracts have been submitted for the 7 Japanese language references cited on Form PTO-1449.

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- B. ☐ The information disclosure statement submitted herewith is being filed
- 1) within three months of the filing date of a national application other than a continued prosecution application under 1.53(d);
  - 2) within three months of the date of entry into the national stage as set forth in 1.491 in an international application;
  - 3) before the mailing date of a first Office Action on the merits;
  - 4) before the mailing date of a first Office Action after filing of a Request for Continued Examination under 1.114; or
  - 5) before the mailing date of a first Office Action after filing of a Continued Prosecution Application.
- C. ☒ The information disclosure statement transmitted herewith is being filed *after* the period specified in paragraph B, but before the mailing date of a final action under 1.113, a Notice of Allowance under 1.311, or an action otherwise closing prosecution, and is accompanied by:
- 1) a Statement under 1.97(e); or
  - 2) a fee of \$180 as set forth in 1.17(p).
- D. ☐ The information disclosure statement transmitted herewith is being filed *after* the period specified in paragraph C, but before payment of the issue fee, and is accompanied by:
- 1) a Statement under 1.97(e); and
  - 2) a fee of \$180 as set forth in 1.17(p).

#### STATEMENT UNDER 1.97(e)

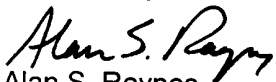
I, the person signing below, certify

- ☐ that each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement. 37 C.F.R. 1.97(e)(1).

- ☐ that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 1.56(c) more than three months prior to the filing of the statement. 37 C.F.R. 1.97(e)(2).

- **Please charge any insufficiency or credit any overpayment to Deposit Account No. 50-0585.** A duplicate of this letter is enclosed for fee processing.

Respectfully submitted,


  
Alan S. Raynes  
Reg. No. 39,809

June 4, 2002  
Date

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**Certificate of Mailing**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail on June 4, 2002 and is addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

  
Alan S. Raynes

June 4, 2002  
(Date)

FORM PTO-1449  
REV. 7.801U.S. Department of Commerce  
PATENT AND TRADEMARK OFFICEAttorney Docket No.  
0015.0014Serial No.  
09/604,702**INFORMATION DISCLOSURE STATEMENT**

(Use several sheets if necessary)

Applicant:  
FURUHATA et al.Filing Date  
6/23/00Group  
2812**U.S. PATENT DOCUMENTS**

Examiner Initial	Document Number							Date	Name	Class	Sub-Class	Filing Date if Appropriate
	6	1	0	3	5	7	3	8/15/00	Harari et al.	438	257	6/30/99
	5	9	0	7	1	7	2	5/25/99	Sheu	257	317	
	6	1	5	7	0	6	0	12/15/00	Kerber	257	316	7/06/98
	5	6	5	2	4	5	0	7/29/97	Hirano	257	323	
	6	2	4	2	7	7	3	6/5/01	Thomas	257	315	9/30/98
	5	6	5	4	5	7	7	8/5/97	Nakamura et al.	257	392	
	5	6	5	0	3	4	4	7/22/97	Ito et al.	437	40	

**FOREIGN PATENT DOCUMENTS**

	Document Number							Date	Country	Class	Sub-Class	Translation	
												Yes	No
	9 -	3	2	1	1	5	6	12/12/97	Japan	H01L	21/8247	abst.	
	11 -	0	7	4	3	8	9	3/16/99	Japan	H01L	21/8247	abst.	
	7 -	1	4	2	6	1	7	6/2/95	Japan	H01L	21/8247	abst.	
	7 -	1	4	7	3	3	6	6/6/95	Japan	H01L	21/8247	abst.	
	9 -	3	2	1	1	5	7	12/12/97	Japan	H01L	21/8247	abst.	
	2000-	1	8	8	3	4	4	7/4/00	Japan	H01L	21/8247	abst.	
	3 -	2	1	9	4	9	6	9/26/91	Japan	G11C	16/06	abst.	

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

	U.S. Serial No. 09/602,535 (filed 6/23/00).
	U.S. Serial No. 09/602,766 (filed 6/23/00).
	U.S. Serial No. 09/599,477 (filed 6/23/00).
Examiner	Date Considered

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.